

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Ryuichi KATAYAMA  
 Title: OPTICAL HEAD APPARATUS  
 Appl. No.: Unassigned  
 Filing Date: November 18, 1999  
 Examiner: Unassigned  
 Art Unit: Unassigned

**UTILITY PATENT APPLICATION**  
**TRANSMITTAL**

Assistant Commissioner for Patents  
 Box PATENT APPLICATION  
 Washington, D.C. 20231

Sir:

Transmitted herewith for filing under 37 C.F.R. § 1.53(b) is the nonprovisional utility patent application of:

Ryuichi KATAYAMA

Enclosed are:

- ☒ Specification, Claim(s), and Abstract (45 pages).
- ☒ Informal drawings (12 sheets, Figures 1-24).
- ☒ Declaration and Power of Attorney (2 pages).
- ☒ Assignment of the invention to NEC CORPORATION.
- ☒ Assignment Recordation Cover Sheet.
- ☐ Small Entity statement.
- ☐ Information Disclosure Statement.
- ☐ Form PTO-1449 with copies of \_\_\_ listed reference(s).

The filing fee is calculated below:

| Claims<br>as Filed | Included in<br>Basic Fee | Extra<br>Claims | Rate | Fee<br>Totals |
|--------------------|--------------------------|-----------------|------|---------------|
|                    |                          |                 |      |               |

|   |    |   |    |   |  |                    |
|---|----|---|----|---|--|--------------------|
| Basic Fee                                   |    |   |    |   | \$760.00                                       | \$760.00           |
| Total Claims:                               | 15 | - | 20 | = | 0  | x \$18.00 = \$0.00 |
| Independents:                               | 1  | - | 3  | = | 0  | x \$78.00 = \$0.00 |
| If any Multiple Dependent Claim(s) present: |    |   |    |   | +  | \$260.00 = \$0.00  |
| Assignment Recordation Fee                  |    |   |    |   | 0.00   | \$ 40.00           |
|   |    |   |    |   | SUBTOTAL:                                      | = \$800.00         |
| [ ]   |    |   |    |   | Small Entity Fees Apply (subtract ½ of above): | = \$0.00           |
|   |    |   |    |   | TOTAL FILING FEE:                              | = \$800.00         |

- [ X ] A check in the amount of \$800.00 to cover the filing fee is enclosed.
- [ ] The required filing fees are not enclosed but will be submitted in response to the Notice to File Missing Parts of Application.
- [ X ] The Assistant Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Assistant Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Please direct all correspondence to the undersigned attorney or agent at the address indicated below.

Respectfully submitted,

Date: November 18, 1999

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